

PATENT

Case Docket No. GNE.2830PIC55

Date: April 3, 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Baker et al.  
Appl. No. : 10/015,386  
Filed : December 12, 2001  
For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND  
NUCLEIC ACIDS  
ENCODING THE SAME  
Examiner : Unknown  
Group Art Unit : Unknown

I hereby certify that this correspondence and all  
marked attachments are being deposited with the  
United States Postal Service as first class mail in  
an envelope addressed to: Commissioner for  
Patents, Washington, D.C. 20231, on

April 3, 2002  
(Date)

Ginger R. Dreger, Reg. No. 33,055

TRANSMITTAL LETTER

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed for filing in the above-identified application is the following:

- (X) Amendment;
- (X) Sequence Submission Statement;
- (X) Sequence Listing diskette in computer readable form;
- (X) Substitute Sequence Listing in 402 pgs;
- (X) Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;

**PATENT**

Case Docket No. GNE.2830P1C55

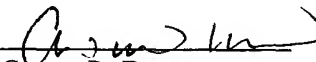
Date: April 3, 2002

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(X) Correction of Address;

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410; and

(X) A return prepaid postcard.

  
Ginger R. Dreger  
Registration No. 33,055  
Attorney of Record

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040202



# 4

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|           |   |                          |   |   |
|-----------|---|--------------------------|---|---|
| Applicant | : | Baker et al.             | ) | Group Art Unit Unknown                            |
| Appl. No. | : | 10/015,386               | ) |   |
| Filed     | : | December 12, 2001        | ) | I hereby certify that this correspondence and all |
| For       | : | SECRETED AND             | ) | marked attachments are being deposited with       |
|           |   | TRANSMEMBRANE            | ) | the United States Postal Service as first-class   |
|           |   | POLYPEPTIDES AND NUCLEIC | ) | mail in an envelope addressed to:                 |
|           |   | ACIDS ENCODING THE SAME  | ) | Commissioner for Patents, Washington, D.C.        |
|           |   |                          | ) | 20231, on   |
| Examiner  | : | Unknown                  | ) |   |

April 3, 2002

(Date)

Ginger R. Dreger, Reg. No. 33,055

SEQUENCE SUBMISSION STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

This is in response to the Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures, mailed February 5, 2001. I hereby state that the amendments, made in accordance with 37 C.F.R. § 1.825(a) and included in the Substitute Sequence Listing submitted herewith, are supported in the application, and that the Substitute Sequence Listing does not include new matter.

I further state that the information recorded in the currently submitted substitute copy of the computer-readable form of the Sequence Listing is identical to the paper form of the Sequence Listing submitted herewith as required in 37 C.F.R. § 1.825(b).

Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON &amp; BEAR, LLP

Dated: April 3, 2002By: Ginger R. Dreger

Ginger R. Dreger

Registration No. 33,055

Attorney of Record

620 Newport Center Drive

Sixteenth Floor

Newport Beach, CA 92660



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/015,386         | 12/12/2001          | Kevin P. Baker        | P2830P1C55             |

CONFIRMATION NO. 9794

## FORMALITIES LETTER



\*OC000000007421457\*

Ginger R. Dreger  
Knobbe Martens Olson & Bear  
Suite 1150  
201 California Street  
San Francisco, CA 94111

Date Mailed: 02/05/2002

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS  
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE  
DISCLOSURES


Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/015,386         | 12/12/2001          | Kevin P. Baker        | P2830P1C55             |

CONFIRMATION NO. 9794

## FORMALITIES LETTER



\*OC000000007421457\*

Ginger R. Dreger  
Knobbe Martens Olson & Bear  
Suite 1150  
201 California Street  
San Francisco, CA 94111

Date Mailed: 02/05/2002

### NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

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- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov



ATTACHMENT TO "NOTICE TO COMPLY WITH  
REQUIREMENTS...SEQUENCE DISCLOSURES"

Any reply including a sequence listing in electronic form should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office, and instead should be submitted using one of the following methods:

1. Electronically submitted through EFS-Bio  
(<http://www.uspto.gov/ebs/efs/downloads/documents.htm>, EFS Submission User Manual - ePAVE)
2. Mailed to:  
U.S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202
3. Mailed by Federal Express, United Parcel Service or other delivery service to:  
U. S. Patent and Trademark Office  
2011 South Clark Place  
Customer Window, Box Sequence  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, Virginia 22202
4. Hand Carried directly to the Customer Window at:  
2011 South Clark Place  
Crystal Plaza Two, Lobby, Room 1B03, Box Sequence,  
Arlington, Virginia 22202

**Effective OCTOBER 1, 2001, Patent Fees will be adjusted.** Please note that fee amounts required by the enclosed Notice might reflect the fees due on the date of filing. Any fee paid on or after OCTOBER 1, 2001 is subject to the new FY 2002 fee schedule and must be paid in the new amount.

**EXAMPLES OF FEES BEING ADJUSTED**

See [www.uspto.gov](http://www.uspto.gov) for complete FY 2001  
and FY-2002 Fee Schedules

\* Indicates  
fees remain  
at FY 2001  
amount

| DESCRIPTION  | FY 2001 | FY 2002 |
|--|---------|---------|
| Basic filing fee - Utility                             | \$710   | \$740   |
| Basic filing fee - Utility (Small Entity)              | \$355   | \$370   |
| Independent claims in excess of three                  | \$80    | \$84    |
| Independent claims in excess of three (Small Entity)   | \$40    | \$42    |
| Claims in excess of twenty                             | \$18    | \$18*   |
| Claims in excess of twenty (Small Entity)              | \$9     | \$9*    |
| Multiple dependent claim                               | \$270   | \$280   |
| Multiple dependent claim (Small Entity)                | \$135   | \$140   |
| Surcharge - Late filing fee                            | \$130   | \$130*  |
| Surcharge - Late filing fee (Small Entity)             | \$65    | \$65*   |
| Design filing fee                                      | \$320   | \$330   |
| Design filing fee (Small Entity)                       | \$160   | \$165   |
| Plant filing fee                                       | \$490   | \$510   |
| Plant filing fee (Small Entity)                        | \$245   | \$255   |
| Reissue filing fee                                     | \$710   | \$740   |
| Reissue filing fee (Small Entity)                      | \$355   | \$370   |
| Reissue independent claims                             | \$80    | \$84    |
| Reissue independent claims (Small Entity)              | \$40    | \$42    |
| Reissue claims in excess of twenty                     | \$18    | \$18*   |
| Reissue claims in excess of twenty (Small Entity)      | \$9     | \$9*    |
| Provisional application filing fee                     | \$150   | 160     |
| Provisional application filing fee (Small Entity)      | \$75    | 80      |
| Surcharge - Late provisional filing fee                | \$50    | \$50*   |
| Surcharge - Late provisional filing fee (Small Entity) | \$25    | \$25*   |
| Non-English Specification                              | \$130   | \$130*  |
| Extension - First month                                | \$110   | \$110*  |
| Extension - First month (Small Entity)                 | \$55    | \$55*   |
| Extension - Second month                               | \$390   | \$400   |
| Extension - Second month (Small Entity)                | \$195   | \$200   |
| Extension - Third month                                | \$890   | \$920   |
| Extension - Third month (Small Entity)                 | \$445   | \$460   |
| Extension - Fourth month                               | \$1,390 | \$1,440 |
| Extension - Fourth month (Small Entity)                | \$695   | \$720   |
| Extension - Fifth month                                | \$1,890 | \$1,960 |
| Extension - Fifth month (Small Entity)                 | \$945   | \$980   |
| Petition   | \$130   | \$130*  |
| Processing returned checks                             | \$50    | \$50*   |

For further fee information, please call  
(703-308-HELP)